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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/071,586	02/08/2002	Joseph J. Pantuso	NA11P093/02.012.01	2679
28875	7590	11/03/2005	EXAMINER	
Zilka-Kotab, PC P.O. BOX 721120 SAN JOSE, CA 95172-1120			CALLAHAN, PAUL E	
			ART UNIT	PAPER NUMBER
			2137	

DATE MAILED: 11/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

10/071,586

Applicant(s)

PANTUSO ET AL.

Examiner

Paul Callahan

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 28 June 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-12, 19-21 and 24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 24 is/are allowed.
- 6) ☒ Claim(s) 1-12 and 19-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

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**DETAILED ACTION**

1. In view of the Appeal Brief filed on 6-28-2005 PROSECUTION IS HEREBY REOPENED. New Rejections set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 CFR 41.20 have been increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing below:

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2. Claims 1-12, 19-21 and 24 are pending in this application and have been examined.

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-12 and 19-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over; Zone Labs: "Zone Alarm Help", 6/2001; S. Boran: "Personal Firewalls / Intrusion Detection Systems, An Analysis of Mini-Firewalls for Windows Users", 11/1999-12/2000; Smart Computing, "Reviews: Hack Tracer 1.2", Smart Computing, January 2001, Vol. 12 Issue 1.

As for claim 1, Zone Labs teaches a method for summarizing firewall activity, comprising:

(a) organizing a plurality of types of events associated with a firewall of a local computer into a plurality of categories (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts")

(b) tracking a number of occurrences of each type of event utilizing the firewall (Getting Started: "The Alerts Panel", page 2: "Internet Alerts 3<sup>rd</sup> of 3 alerts"); and

(c) displaying a graphical representation indicating a severity of the number of the events utilizing the firewall (Use The Internet: "Firewall Alerts" page 1), wherein a selector is displayed for setting a blocking level of the firewall

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to a desired blocking level (Getting Started, Tutorial, Quick Tour: "Alert Setting", page 8); wherein a plurality of interface features are displayed including a summary interface (Getting Started, Tutorial, Quick Tour: "Alert Setting", page 5), an Internet protocol (1P) address interface (Getting Started, Tutorial, Quick Tour: "Local Zone Settings", page 9), an event log (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts"), and a notification option interface (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Alert Settings"), wherein: upon the selection of the summary interface, displaying a recent activity list including total blocked access attempts by remote computers (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts"), upon the selection of the event log, displaying a log of the blocked access attempts by the remote computers (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Alert Settings"), and upon the selection of the notification option interface, displaying a plurality of notification options for selection (Getting Started, Tutorial, Quick Tour, page 5: "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts"); wherein a lock-down option is provided for selectively blocking all access attempts via an interface (Getting Started, Tutorial, Quick Tour, "Internet Lock," page 10); wherein the user is capable of selecting the IP addresses associated with the remote computers to be allowed access (Getting Started, Tutorial, Quick Tour, "Local Zone Properties", page 9); wherein the user is capable of selecting a list of application programs to be allowed to communicate over a network (Getting

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Started, Tutorial, Quick Tour, "Program Control", page 10). Zone Labs does not explicitly teach a graphical representation that includes a graph of the number of alerts. However Eschelbeck et al., US 6,567,808, does teach this feature (fig. 6, "Cyber Cop Monitor Results, Graphical Representation"). Zone Labs does not explicitly teach that, upon the selection of the IP address interface, displaying the IP address interface for selecting the IP addresses associated with the remote computers to be blocked or wherein the user is capable of selectively blocking Internet control message protocol (ICMP) traffic. However Boran teaches such as features of the PGP7 firewall ("Personal Firewall Test: PGP7, features"). Zone Labs does not explicitly teach a firewall wherein a user is capable of performing a visual trace. However Smart Computing does teach such as a feature of the Hack Tracer 1.2 firewall (reviews, January 2001, Vol. 12 Issue 1). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to have incorporated these features into the firewall of Zone labs. It would have been desirable to do so as blocking ICMP traffic, blocking specific IP addresses, and performing a trace on such an address would allow for greater flexibility in configuring firewall security.

As for claim 2, Zone Labs teaches the method as recited in claim 1, wherein the events include blocked attempts of various types (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts").

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As for claim 3, Zone Labs teaches the method as recited in claim 2, wherein at least one of the types of the blocked attempts includes blocked attempts of the remote -computers to access predetermined banned ports associated with the local computer selection (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts").

As for claim 4, Zone Labs teaches the method as recited in claim 2, wherein at least one of the types of the blocked attempts includes blocked attempts of the remote computers with a predetermined set of IP addresses to access the local computer selection (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts", and "Local Zone Properties", page 9).

As for claim 5, Zone Labs teaches the method as recited in claim 2, wherein at least one of the types of the blocked attempts includes blocked attempts to access the network made by predetermined applications (Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 6, Zone Labs teaches the method as recited in claim 1, wherein the displayed number of occurrences of each type of event occurred within a predetermined time period (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts", where there is kept a log file for each predetermined 24 hour period).

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As for claim 7, Zone Labs teaches the method as recited in claim 1, and further comprising displaying additional information relating to the events upon as selection thereof (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts", and Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 8, Zone Labs teaches the method as recited in claim 2, wherein a first type of the blocked attempts includes blocked attempts of the remote computers to access predetermined banned ports associated with the local computer, a second type of the blocked attempts includes blocked attempts of the remote computers with a predetermined set of IP addresses to access the local computer, and a third type of the blocked attempts includes blocked attempts to access the network made by predetermined applications (Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 9, Zone Labs teaches the method as recited in claim 8, wherein the first type of the blocked attempts, the second type of the blocked attempts, and the third type of the blocked attempts are organized into the categories (Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 10, Zone Labs teaches the method as recited in claim 8, wherein a plurality of banned ports associated with the first type of the blocked



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attempts are displayed with the number of the occurrences associated therewith (Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 11, Zone Labs teaches the method as recited in claim 8, wherein a plurality of banned IP addresses associated with the second type of the blocked attempts are displayed with the number of the occurrences associated therewith (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts", and Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claim 12, Zone Labs teaches the method as recited in claim 8, wherein a plurality of banned applications associated with the third type of the blocked attempts are displayed with the number of the occurrences associated therewith (Getting Started, Tutorial, Quick Tour, "Alert Setting: Log Alerts to a text file", page 6: "Current Alerts", and Getting Started, Tutorial, Quick Tour, Alerts, "More Info Button" page 2).

As for claims 19, 20, and 21, the claims are directed towards the computer program product embodied on a computer readable memory medium that when read out cause the means, and the logic enumerated to carry out the method of claim 1. Therefore these claims are rejected on the same basis as is claim 1.

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***Allowable Subject Matter***


5. Claim 24 is allowed.

***Conclusion***

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Paul E. Callahan whose telephone number is (571) 272-3869. The examiner can normally be reached on M-F from 9 to 5.

If attempts to reach the examiner by telephone are unsuccessful, the Examiner's supervisor, Emmanuel Moise, can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is: (571) 273-8300.

10/28/05



MATTHEW SMITHERS  
PRIMARY EXAMINER  
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